

11003 U.S. PTO
09/28/01

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*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

September 28, 2001

WRITER'S DIRECT NUMBER:

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Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
(*Divisional of Appl. No.: 09/380,203; § 371 Date: April 25, 2000*)
Appl. No.: To Be Assigned; Filed: Herewith
For: **Transgenic Animals and Cell Lines for Screening Drugs Effective for
the Treatment or Prevention of Alzheimer's Disease**
Inventors: DE LA MONTE *et al.*
Our Ref: 0609.4370003/ALF

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
2. PTO Fee Transmittal (Form PTO/SB/17) (*in duplicate*);
3. A true copy of the latest inventor-signed U.S. Utility Patent Application No. 09/380,203; § 371 Date: April 25, 2000, entitled:

**Transgenic Animals and Cell Lines for Screening Drugs Effective for the
Treatment or Prevention of Alzheimer's Disease**

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09/380,203

Commissioner for Patents
September 28, 2001
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and naming as inventors:

Suzanne DE LA MONTE; and

Jack R. WANDS

the application consisting of:

- a. A specification containing:
 - i. 61 pages of description prior to the claims;
 - ii. 5 pages of claims (34 claims);
 - iii. a one (1) page abstract;
- b. 13 sheets of drawings: (Figures 1, 2A-2F, 3A-3F, 4A-4H, 5A, 5B, 6A-6G, 7A-7C, 8A-8D, 9A, 9B, 10A, 10B, 11 and 12);
- c. 9 pages of a paper copy of the sequence listing;
- d. A computer readable copy of the sequence listing. In accordance with 37 C.F.R. § 1.82(f), the paper copy of the sequence listing and the computer readable copy of the sequence listing submitted herewith in the above application are the same;
- e. A copy of the executed Declaration For Patent Application, as originally filed in U.S. Appl. No. 09/380,203; and
- f. Application Data Sheet;

4. A Preliminary Amendment;
5. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
6. Our check No. 32343 for \$870.00 to cover:
\$710.00 for the filing fee for patent application; and
\$160.00 fee for independent claims in excess of 3; and
7. Two (2) return postcards.

Commissioner for Patents
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In accordance with 37 C.F.R. § 1.821(f), the paper copy of the sequence listing and the computer readable copy of the sequence listing submitted herewith in the above application are the same.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Albert L. Ferro
Attorney for Applicants
Registration No. 44,679

ALF/BKB:reid/awt
Enclosures

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No	0609.4370003/ALF
First Inventor	DE LA MONTE
Title	Transgenic Animals and Cell Lines for Screening Drugs Effective for the Treatment or Prevention of Alzheimer's Disease
Express Mail Label No.	

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)

2. Applicant claims small entity status.
See 37 CFR 1.27.

3. Specification [Total Pages 67]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (*if filed*)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. Drawing(s) (35 U.S.C. 113) [Total Sheets 13]
5. Oath or Declaration [Total Pages 2]
a. Newly executed (original or copy)
b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).

6. Application Data Sheet. See 37 CFR 1.76.

7. CD-ROM or CD-R in duplicate, large table or Computer Program
(Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

a. Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. CD-ROM or CD-R (2 copies); or

ii. paper

c. Statements verifying identity of above copies

JC821 U.S. PRO
09/964666
09/28/01

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))

10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)

11. English Translation Document *(if applicable)*

12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

13. Preliminary Amendment

14. Two (2) Return Receipt Postcards (MPEP 503)
(Should be specifically itemized)

15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i) Applicant must attach form PTO/SB/35 or its equivalent.

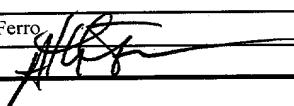
17. Other. Authorization under 37 C.F.R. § 1.136(a)(3)
 Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

Continuation Divisional Continuation-in-Part (CIP)
Prior application information: Examiner Whiteman, B. of prior application No: 09/380,203
Group/Art Unit 1633

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)			<i>or</i>	<input type="checkbox"/> Correspondence address below
Customer No. 26111					
NAME <u>STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.</u> Attorneys at Law					
ADDRESS					
CITY		STATE		ZIP CODE	
COUNTRY		TELEPHONE		FAX	
NAME (Print/Type)	Albert L. Ferro			Registration No. (Attorney/Agent)	44,679
SIGNATURE				Date	September 28, 2001

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FEE TRANSMITTAL for FY 2001

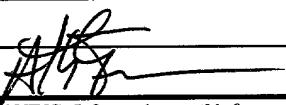
Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT

(\$870.00)

Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	DE LA MONTE
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No.	0609.4370003/ALF

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)					
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:		3. ADDITIONAL FEES Large Entity Small Entity					
Deposit Account Number	19-0036	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	
Deposit Account Name	Sterne, Kessler, Goldstein & Fox P.L.C.	105	130	205	65	Surcharge - late filing fee or oath	
<input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17		127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
<input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		139	130	139	130	Non-English specification	
<input checked="" type="checkbox"/> Payment Enclosed.		147	2,520	147	2,520	For filing a request for ex parte reexamination	
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other*		112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036		113	1,840	113	1,840*	Requesting publication of SIR after Examiner action	
FEE CALCULATION							
1. BASIC FILING FEE							
Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description		Fee Paid	
101	710	201	355	Utility filing fee		<u>710.00</u>	
106	320	206	160	Design filing fee			
107	490	207	245	Plant filing fee			
108	710	208	355	Reissue filing fee			
114	150	214	75	Provisional filing fee			
SUBTOTAL (1) (\$ <u>710.00</u>)							
2. EXTRA CLAIM FEES							
Extra	Fee from below		Fee Paid				
Total Claims <u>17</u> - 20 = <u>0</u> X <u>0</u> = <u>0</u>							
Indep. Claims <u>5</u> - 3** = <u>2</u> X <u>80.00</u> = <u>80.00</u>							
Multiple Dependent							
Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description			
103	18	203	9	Claims in excess of 20			
102	80	202	40	Independent claims in excess of 3			
104	270	204	135	Multiple dependent claim			
108	80	209	40	**Reissue independent claims over original patent			
110	18	210	9	**Reissue claims in excess of 20 and over original patent			
SUBTOTAL (2) (\$ <u>160.00</u>)							
** or number previously paid, if greater. For Reissues, see above							
SUBMITTED BY							
Name (Print/Type)	Albert L. Ferro		Registration No. (Attorney/Agent)	44,679	Telephone	202-371-2600	
Signature				Date	September 28, 2001		
Complete (if applicable)							
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.							

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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